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ABSTRACT

In developing procedures for evaluating academic administrators which both meet legal requirements and foster professional development, institutions should provide for the participation of faculty and other employees directly affected by the administrator's position; develop clear and complete job descriptions for each administrative position; conduct evaluations in a timely manner at regular and reasonable intervals; and clearly explain the purposes of the evaluation. Job performance standards should be established at least 1 year in advance of the evaluation process and should be clearly communicated to those being evaluated. Job performance goals and objectives should be established which assess the administrator in such areas as knowledge of the position, planning and management in the context of shared governance, communication skills, promoting affirmative action and cultural diversity, and implementing legal mandates. Two types of procedures for the evaluation of administrators include: the annual and the comprehensive. The annual evaluation procedure includes the following steps: (1) conducting the evaluation; (2) concluding the evaluation; and (3) providing the follow-up. The comprehensive evaluation procedure includes the following steps: (1) establish an evaluation team of six to eight members who will meet at least three times during the evaluation period; (2) train the evaluation team; (3) conduct the evaluation, which includes obtaining information through administrator self-evaluation, supervisor evaluation, and faculty/staff/other involvement; (4) conclude the evaluation process, which consists of establishing performance ratings and improvement recommendations; and (5) provide for follow-up, which includes the evaluatee meeting with a supervisor to develop training and development activities addressing the needs identified. An appendix reviews California legislative provisions affecting administrator evaluation. (PAA)

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Adopted November 7, 1992

TOWARD A MODEL ACADEMIC ADMINISTRATOR EVALUATION POLICY

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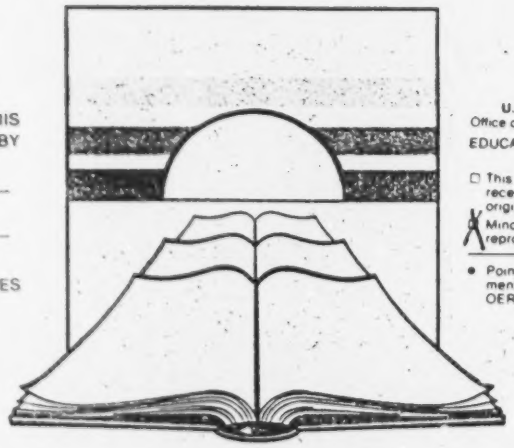

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TOWARD A MODEL ACADEMIC ADMINISTRATOR EVALUATION POLICY

Adopted Fall 1992

INTRODUCTION:

The academic administrator[1] evaluation process proposed in this document is designed to transcend legal compliance and to foster meaningful professional growth. Moreover, this document is presented as a model of administrator evaluation and should not be viewed as a prescription for local districts to follow. Local academic senates are encouraged to meet and work with governing boards, and/or their designees, to modify the model to meet local conditions and needs.

In what follows, two types of administrator evaluation procedures shall be identified: **annual** and **comprehensive.** Preceding these discussions are brief comments on criteria for developing an evaluation process and on preparation for the evaluation.

CRITERIA FOR DEVELOPING AN EVALUATION PROCESS:

This paper recognizes that the precise nature of the evaluation process for administrators should be subject to local definition and control. It is assumed however that governing boards seek through the implementation of evaluation processes:

> **to ensure that administration consists of administrators who can lead, organize, plan, and supervise; who understand the needs of faculty and the learning process; and who value institutional governance based upon a genuine sharing of responsibility with faculty colleagues.**[2]

To promote collegiality in the administrator evaluation process Districts should include the following:

1. Representatives of the faculty and other employees whose circumstances at work will be directly affected by the employment of the administrator should participate effectively in all phases of the evaluation process.

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1 **For the purposes of this paper, the term "administrator" is used to mean those employees of the local district who have management and/or supervisory responsibility. The proposed model is envisioned to apply to all levels of administration with only slight variations at the levels of Chancellor or President.**

2 **Section (4) (o) (3) of Assembly Bill 1725**

2. Clear and complete job descriptions that include all job-related skill requirements should be prepared for each position, and these job descriptions should be reviewed before the position is evaluated to ensure conformity with the community college's affirmative action and nondiscrimination commitments.

3. The evaluation process should be effective in yielding a genuinely useful and substantive assessment of an administrator's performance. Among other things, this requires an articulation of clear, relevant criteria on which evaluations will be based.

4. The evaluation process should be timely. This requires that evaluations be performed regularly at reasonable intervals.

5. The specific purposes for which evaluations are conducted should be clear to everyone involved. This requires recognition that the principal purposes of the evaluation process are to recognize and acknowledge good performance, to enhance satisfactory performance and help administrators who are performing satisfactorily further their own growth, to identify weak performance and assist administrators in achieving needed improvement, and to document unsatisfactory performance.

PREPARATION FOR THE EVALUATION:

Prior to beginning the evaluation process districts should take two key steps:

1. Performance Standards Established:

Clear and complete job descriptions for each position, that include all job-related skill requirements, shall be prepared one year in advance of the evaluation process. Representatives of the faculty and other employees whose circumstances at work will be directly affected by the employment of the administrator should participate effectively in the development of the job descriptions.

Annual goals and objectives shall be prepared in relations to the job description. These goals and objectives shall have the following seven qualities: acceptable, flexible, measurable over time, motivating, suitable, understandable, and achievable. These goals and objectives shall be established to assess the administrator in terms of:

- knowledge of the position;
- planning and managing in the context of shared governance;
- time utilization;

- budget management;
- progress toward achievement of professional development plan;
- communication skills;
- fostering trust and collegiality;
- leading and motivating a diverse faculty and staff;
- articulating to management the views and concerns of the faculty and staff he or she supervises;
- developing community relations;
- commitment to academic freedom and academic excellence in the teaching/learning process;
- integrity and professional conduct;
- commitment to students, particularly those not traditionally served;
- promoting affirmative action and cultural diversity;
- implementing legal mandates; and
- interpreting and enforcing the rules and regulations of the district including collective bargaining agreements.

2. Performance Standards Communicated:

Administrators shall be told clearly and precisely what the performance standards are, and how they are to be met in advance of the evaluation process.

Decisions about an administrator's assignment, length of contract, additional training, retention, or eligibility for retreat rights[3] all shall be based primarily upon performance evaluations.

In addition, an effective performance appraisal system is a way of satisfying certain legal conditions i.e., affirmative action, wrongful terminations, Title IX infringements.[4]

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3 Section 34 of Assembly Bill 1725 added Section 87458 to the Education Code to provide for administrator retreat rights. For more details see Appendix A of this document.

4 See Donald E. Walker's comments on effective and ineffective administrators in The Effective Administrator. (San Francisco: Jossey-Bass Pub., 1979, pp.2-5).

TWO TYPES OF PROCEDURES FOR THE EVALUATION OF ADMINISTRATORS

This document proposes two types of administrator evaluation procedures: **annual** and **comprehensive.**

Annual Evaluations Procedures:

Each academic administrator shall be evaluated annually by the supervising administrator.

Established procedure shall be adhered to in completing an annual performance evaluation and provisions shall be made for the following:

- review and discussion of results by the supervising administrator and the evaluatee;
- evaluatee signature and receipt of the evaluation report, which contains all completed evaluations;
- filing of the original copy of the evaluation report in the evaluatee's personnel file in the district's Human Resources Department.

Each evaluation period shall begin no later than the third week of the fall semester and be concluded no later than the third week of the spring semester.

The annual evaluation of an administrator's performance shall consist of the following three steps:

Step One **Conducting the Evaluation**

The supervising administrator shall evaluate the administrator's performance in accordance with established standards and the evaluation process shall be oriented toward providing constructive feedback for improved performance (see "Preparation for the Evaluation" above).

Step Two **Concluding the Evaluation**

At the conclusion of the evaluation process, the supervising administrator shall make a written recommendation to the appropriate senior staff administrator regarding the evaluatee's performance.[5] Such recommendation shall include a rating of "excellent," "exceeds expectations," "meets expectations", "needs improvement," or "unsatisfactory," as well as including recommendations regarding the evaluatee's assignment, length of contract, professional development and training activities, or retention.

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5. The assumption is made, in using the term "senior staff administrator," that recommendations regarding performance evaluations should be forwarded to one level of administration above the supervising administrator for disposition.

The supervising administrator shall meet with the evaluatee to discuss the evaluation results and to develop a plan for training and development activities to address the needs identified through the evaluation process.

It shall be the responsibility of the supervising administrator to submit all evaluation materials to the appropriate senior staff administrator for her or his review and comment.

It shall be the responsibility of the senior staff administrator to submit a written recommendation to the Superintendent/President regarding the evaluatee's assignment, length of contract, professional development and training activities, or retention; and to transmit to the Superintendent/President the original evaluation packet which shall include: the self-evaluation, the supervisor's evaluation, and other evaluation documentation for inclusion in the evaluatee's official personnel file. The evaluatee shall be given a copy of all evaluation materials, including the senior staff administrator's written recommendation.

Step Three **Providing the Follow-up**

The performance evaluation process is understood to be an appropriate time for discussing an administrator's successes and providing developmental feedback to help the employee perform her or his job better.

It takes time to learn a job and do it well. After the evaluation has been completed, Step Three is envisioned to support the evaluatee's efforts to integrate the evaluation results into her or his daily activities and improve performance.

The supervising administrator shall work with the evaluatee throughout the year to achieve the professional development objectives identified in Step Two and shall prepare an assessment of evaluatee's progress at the end of the yearly cycle for inclusion in the next evaluation period.

Comprehensive Evaluation Procedures:

A comprehensive evaluation can occur for any of the following three conditions:

- all academic administrators shall undergo a comprehensive evaluation once every three (3) years;
- all new academic administrators shall undergo a comprehensive evaluation two (2) consecutive years after appointment; and

- any administrator can be evaluated at anytime as determined by the Chancellor/Superintendent or President.[6] In such cases, a comprehensive evaluation shall be conducted.

Established procedure shall be adhered to in completing a performance evaluation and provisions shall be made for the following:

- review and discussion of results by the evaluation team and the administrator;
- administrator signature and receipt of the evaluation report, which contains all completed evaluations;
- filing of the original copy of the evaluation report in the administrator's personnel file in the district's Human Resources Department.

Each evaluation period shall begin no later than the third week of the fall semester and be concluded no later than the third week of the spring semester.

The annual evaluation of an administrator's performance shall consist of the following five steps:

STEP ONE: **Establishing the Evaluation Team**

An evaluation team shall be established within 30 days of the beginning of the evaluation period and shall supervise the comprehensive evaluation procedures.

The evaluation team shall be composed of six to eight members. The members shall include the evaluatee's supervising administrator, other administrators, designees of the academic senate, and representatives of other employees whose circumstances at work will be directly affected by the employment of the administrator.[7] The members, whenever possible, should reflect the demographics of California and must be sensitive to affirmative action concerns.

The evaluation team shall meet at least three times during the evaluation period. Meeting times shall be established early in the evaluation period.

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6 Conditions may prompt the senate to request Chancellor/Superintendent or President to evaluate an administrator, in which case a comprehensive evaluation shall be conducted. Procedures for this event should be determined locally.

7 The collective bargaining agent may wish to be part of the process. This should be determined at the local level.

STEP TWO: **Training The Evaluation Team**

In preparation for conducting the performance assessment, the evaluation team shall participate in educational programs focusing on (a) district evaluation policies and procedures and (b) techniques and strategies for carrying out the team's assigned duties (see "Conducting the Evaluation" below).

STEP THREE: **Conducting the Evaluation.**

Listed below are the evaluation team's duties and responsibilities, and three primary sources of information that the evaluation team relies upon to prepare its recommendation regarding the evaluatee's performance.

Evaluation Team

The evaluation team shall evaluate the academic administrator in accordance with established performance standards and the evaluation process shall be oriented toward providing constructive feedback for improved performance (see "Preparation for the Evaluation" above).

The evaluation team shall have the following duties:

- maintain confidentiality and the integrity of the evaluation process;
- collect and review the self-evaluation;
- collect and review the supervising administrator's annual evaluations;
- collect and review the faculty/staff evaluations;
- compare the evaluation results with the self-evaluation to facilitate improvement;
- discuss the evaluatee's goals and the process for achieving them;
- cooperate with all members of the evaluation team in completing the Evaluation Team Report Form;
- meet with the administrator being evaluated to present the Evaluation Team Report; and
- assist the evaluatee in developing a plan for training and development activities to address needs identified through the evaluation process.

Administrator's Self-Evaluation

The evaluatee's self-evaluation shall be in accordance with the following criteria reflected in the incumbent's job description and performance standards:

1. effectiveness in achieving prior goals and objectives;
2. goals and objectives for the new evaluation period;
3. plans for improvement;
4. success in achieving affirmative action goals and objectives; and
5. attention to intent and spirit of shared governance.

Each administrator shall develop a written statement of specific goals and objectives for two areas of performance evaluation: professional development and the administrative unit she or he manages.

1. Professional development: the administrator shall conduct a personal assessment of her or his performance and define annual goals and objectives consistent with the incumbent's job description.
2. Administrative unit: administrative goals and objectives for the unit shall be developed in consultation with unit faculty and the performance standards statement shall reflect those District or College goals and objectives developed and approved through collegial processes.

The written statement of goals and objectives shall be established with the approval of the administrator's immediate supervisor.

Supervisor's Evaluation of the Administrator

In making this evaluation, the supervising administrator shall consider the official job description, the administrative unit, prior goals and objectives, those efforts made to execute extraordinary tasks and projects, standards of acceptable administrative behavior, and the administrator's efforts to achieve affirmative action goals and objectives.

Faculty/Staff/Other Involvement

Early in the evaluation period the Faculty/Staff Administrator Appraisal Instruments (see Appendix C) shall be distributed to the appropriate representative groups for the purposes of securing faculty/staff input.

Step Four: **Conclusion of the Evaluation Process**

At the conclusion of the evaluation process, the evaluation team shall make a written recommendation to the appropriate senior staff administrator regarding the evaluatee's performance. Such recommendation shall include a rating of "excellent," exceeds expectations," "meets expectations", "needs improvement," or "unsatisfactory," as well as including recommendations regarding the evaluatee's assignment, length of contract, professional development and training activities, or retention. The evaluation team shall meet with the administrator being evaluated to discuss the evaluation results and to establish the follow-up schedule.

It shall be the responsibility of the evaluation team to submit all evaluation materials to the appropriate senior staff administrator for her or his review and comment.

It shall be the responsibility of the senior staff administrator to submit a written recommendation to the Superintendent/President regarding the evaluatee's assignment, length of contract, training and development activities, or retention; and to transmit to the Superintendent/President the original evaluation packet which shall include: self-evaluation, supervisor's evaluation, faculty/staff appraisal reports, evaluation team's report, and other evaluation documentation for inclusion in the evaluatee's official personnel file. The evaluatee shall be given a copy of all evaluation materials, including the senior staff administrator's written recommendation.

STEP FIVE: **Providing the Follow-up.**

The evaluation team shall work with the evaluatee to create a plan for training and development activities to address needs identified through the evaluation process.

The supervising administrator shall work with the evaluatee throughout the year to achieve the planned professional development objectives and shall prepare an assessment of evaluatee's progress at the end of the yearly cycle for inclusion in the next evaluation period.

APPENDIX A: LEGISLATIVE PROVISIONS:

The following represent pertinent statutory provisions for the Assembly Bill 1725 governing evaluation of administrators.

SECTION 4 (o) (3) reads:

Any set of laws, regulations, directives, or guidelines regarding community college faculty and administrator qualifications, evaluation, hiring, or retention should promote the efforts of local community colleges to ensure that their faculty and administration consists of:

> Administrators who can lead, organize, plan, and supervise; who understand the needs of faculty and the learning process; and who value institutional governance based upon a genuine sharing of responsibility with faculty colleagues.

SECTION 4 (r) (2) reads:

The hiring process for administrators and faculty (both temporary and permanent) should be designed so that both faculty and administrators take real responsibility for meeting affirmative action goals and ensuring that affirmative action considerations effectively influence hiring decisions.

SECTION 4 (s) (5) reads:

... in hiring administrators the goal is to ensure that the community colleges will select administrators who are competent to perform the kind of administrative responsibilities that administrators are normally required to assume in the context of the operation and programs of the community colleges.

SECTION 4 (u) (1) and (4) reads:

The state should provide the community colleges with enough resources and a sufficiently stable funding environment to enable them to predict their staffing needs and to establish highly effective hiring processes. While the precise nature of the hiring process for administrators should be subject to local definition and control, each community college should, in a way that is appropriate to its circumstances, establish a hiring process which ensures that:

> Representatives of the faculty and other employees whose circumstances at work will be directly affected by the employment of the administrator participate effectively in all appropriate phases of the process.

Clear and complete job descriptions that include all job-related skills requirements are prepared for each position and these job descriptions are reviewed before each position is announced, to ensure conformity with the community college's affirmative action and nondiscrimination commitments.

SECTION 34 added Sec. 87458 to the Education Code to read:

A person employed in an administrative position that is not part of the classified service, who has not previously acquired tenured status as a faculty member in the same district, shall have the right to become a first year probationary faculty member once his or her administrative assignment expires or is terminated if all of the following apply:

(a) The process by which the governing board reaches the determination shall be developed and agreed upon jointly by representatives of the governing board and the academic senate, and approved by the governing board. The agreed upon process shall include reasonable procedures to ensure that the governing board relies primarily upon the advice and judgment of the academic senate to determine that the administrator possesses the minimum qualifications for employment as a faculty member. The process shall further require that the governing board provide the academic senate with an opportunity to present its views to the governing board before the board makes a determination; and that the written record of the decision, including the views of the academic senate, shall be available for review pursuant to Section 87358.

(b) Until a joint agreement is reached pursuant to subdivision (a), the district process in existence on January 1, 1989, shall remain in effect.

(c) The administrator has completed at least two years of satisfactory service, including any time previously served as a faculty member, in the district.

(d) The termination of the administrative assignment is for any reason other than dismissal for cause.

SECTION 51 amended Sec. 87663 of the Education Code to read:

(a) Contract employees shall be evaluated at least once in each academic year.

(b) Whenever an evaluation is required of a certificated employee by a community college district, the evaluation shall be conducted in accordance with the standards and procedures established by the rules and regulations of the governing board of the employing district.

(c) Evaluations shall include, but not be limited to, a peer review process.

(d) The peer review process shall be on a departmental or divisional basis, and shall address the forthcoming demographics of California, and the principles of affirmative action. The process shall require that the peers reviewing are both representative of the diversity of California and sensitive to affirmative action concerns, all without compromising quality and excellence in teaching.